



09965101.062802

ATTORNEY'S DOCKET NO: C1039/7057 (HCL/MAT)

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Krieg, et al.  
Serial No.: 09/965,101  
For: VECTORS AND METHODS FOR IMMUNIZATION OR THERAPEUTIC  
PROTOCOLS  
Filed: September 26, 2001  
Examiner: Not yet assigned  
Art Unit: 1632  
Conf No.: 3959

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CERTIFICATE OF MAILING UNDER 37 C.F.R. §1.10(a)

I hereby certify that this document is being placed in the United States mail as Express Mail No. EL953479526US, addressed to Box Duplicate OIPE, U.S. Patent and Trademark Office, P.O. Box 2327, Arlington, VA 22202-2327 on June 28, 2002.

Maria A. Trevisan Reg. No.: 48,207

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Box Duplicate OIPE  
U.S. Patent and Trademark Office  
P.O. Box 2327  
Arlington, VA 22202-2327

**RESPONSE TO REQUEST FOR SUBSTITUTE PAPERS**

This is in response to the Request for Substitute Papers mailed from the United States Patent and Trademark Office on June 19, 2002.

Attached are copies of documents filed with certificate of mailing December 5, 2001. Applicants believe this is responsive to the Request for Substitute Papers.

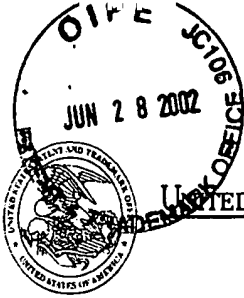
If any other information is needed, please contact the undersigned by phone (617-720-3500, Ext. 266) to expedite the further prosecution of this patent application.

Respectfully Submitted,

Maria A. Trevisan, Reg. No. 48,207  
Wolf, Greenfield & Sacks, P.C.  
Federal Reserve Plaza, 600 Atlantic Avenue  
Boston, MA 02210-2211  
(617)720-3500

Attorney Docket No. C1039/7057  
Date: June 28, 2002

807/03/02



## UNITED STATES PATENT AND TRADEMARK OFFICE

UNITED STATES DEPARTMENT OF COMMERCE  
United States Patent and Trademark Office  
Address: COMMISSIONER OF PATENTS AND TRADEMARKS  
Washington, D.C. 20231  
www.uspto.gov

Application Number	Filing Date	First Named Applicant	Atty. Docket No.
09/965,101	09/26/2001	Krieg, Arthur	C1039/7057 (HCL/MAT)

Maria A. Trevisan  
Wolf, Greenfield & Sacks, P.C.  
Federal Reserve Plaza  
600 Atlantic Avenue  
Boston MA 02210

**Title:** Vectors and methods for immunization or therapeutic protocols

Date Mailed: 06/19/2002

## Request for Substitute Papers

The papers filed on 01/23/02 (certificate of mailing dated 12/05/01) are no longer in condition to become part of the permanent records of the United States Patent and Trademark Office (USPTO) for this application (37 CFR 1.52(a)) due to the United States Postal Service sanitization process.

The USPTO requests that applicant provide a copy of the above-identified papers (except for any U.S. or foreign patent documents submitted with the above-identified papers) with a statement that such copy is a complete and accurate copy of the above-identified papers (signing and returning a copy of this notice will provide such a statement). The reply to this letter should be submitted to the USPTO by facsimile at the number indicated ~~703-746-1000 (EXT.)~~ 703-746-9195.

Alternatively, the reply to this letter may be hand-carried to the Customer Service Window located in Room 1B03 of Crystal Plaza Building 2, Arlington, Virginia, 22202.

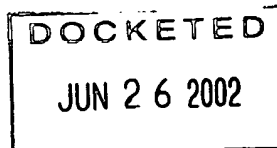
The USPTO **strongly** prefers that the reply to this letter be submitted by facsimile. However, if applicant cannot submit the reply to this letter by facsimile (or hand-delivery), the reply may be mailed to: Box Duplicate OIPE, U.S. Patent and Trademark Office, P.O. Box 2327, Arlington, VA 22202-2327.

This letter is not a notice under 37 CFR 1.251. However, failure to timely replay to this notice within **two (2) weeks** of the date of receipt of this letter may result in the USPTO issuing a notice under 37 CFR 1.251. **A copy of this notice should be included with the reply.**

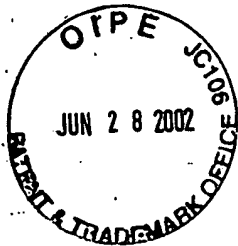
The enclosed papers are a complete and accurate copy of the above-identified papers.

Name: MARIA A. TREVISAN Registration No.: 48,207

Signature: [Signature] Date: June 28, 2002



File Entry	<input checked="" type="checkbox"/>	Initial	<input checked="" type="checkbox"/>
EC	<input checked="" type="checkbox"/>		
Docket Entry	<input checked="" type="checkbox"/>		
Docket Cross Off	<input checked="" type="checkbox"/>		
Order Copies	<input type="checkbox"/>		
Annuities	<input type="checkbox"/>		
Confirmation	<input type="checkbox"/>		



Serial No. C97/965,101 File No. C1039/7057 By: HCL/MAT/egs  
Title: Vectors and Methods for Immunization or Therapeutic  
Application of Davis, et al. WGS Date: 1/19/02

The U.S. PTO Mail Room acknowledges receipt of the following on the date stamped hereon:

<input type="checkbox"/> Mailing by Express Mail (37 CFR 1.10)	<input type="checkbox"/> Provisional Application Cover Sheet
<input type="checkbox"/> Express Mail Label No. _____	<input type="checkbox"/> Multiple Dependent Claim Fee Sheet
<input type="checkbox"/> Patent Application	<input type="checkbox"/> Inf. Discl. Statement, PTO Form 1449
<input type="checkbox"/> Non-provisional <input type="checkbox"/> Provisional	<input type="checkbox"/> References Cited
Incl. _____ pages, ( _____ pgs) Specification,	<input type="checkbox"/> Priority Document(s) # _____
( _____ pgs) Abstract, ( _____ pgs) Claims ( _____ # claims)	<input type="checkbox"/> Copy of Notice to File Missing Parts
<input type="checkbox"/> Design Patent Application	<input type="checkbox"/> Amendment/Response
<input type="checkbox"/> Declaration(s) _____	<input type="checkbox"/> Petition for Ext. of Time (x2)
<input type="checkbox"/> Drawings _____ Sheet(s) (FIGS. _____)	<input type="checkbox"/> Issue Fee Transmittal
<input type="checkbox"/> Formal <input type="checkbox"/> Informal	<input checked="" type="checkbox"/> Letter to Official Draftsperson
<input type="checkbox"/> Utility Patent Application Transmittal	<input type="checkbox"/> Notice of Appeal
<input type="checkbox"/> Fee calculation sheet (x2)	<input type="checkbox"/> Brief (x3)
<input type="checkbox"/> CPA Transmittal	<input type="checkbox"/> Check for \$ _____ Check # _____
<input type="checkbox"/> Verified Statement claiming small entity status	<input checked="" type="checkbox"/> Transmittal Letter (x2)
<input type="checkbox"/> Assignment and Cover Sheet	<input checked="" type="checkbox"/> Cert. of Mailing under 37 CFR 1.8(a)

☒ Other Notice to File Corrected Application Papers;  
Substitute Drawings in Compliance with  
37 C.F.R. 1.84

DATE MAILED

December 5, 2001



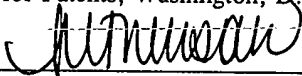
ATTORNEY'S DOCKET NO: C1039/7057 (HCL/MAT)

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Davis, et al.  
 Serial No.: 09/965,101  
 For: VECTORS AND METHODS FOR IMMUNIZATION OR THERAPEUTIC  
 PROTOCOLS  
 Filed: September 26, 2001  
 Examiner: Not yet assigned  
 Art Unit: 1632

CERTIFICATE OF MAILING UNDER 37 C.F.R. §1.8(a)

The undersigned hereby certifies that this document is being placed in the United States mail with first-class postage attached, addressed to Commissioner for Patents, Washington, D.C. 20231, on December 5, 2001.

  
 Maria A. Trevisan Reg. No.: 48,207

Commissioner for Patents  
 Washington, D.C. 20231

TRANSMITTAL

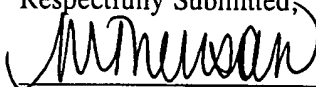
Transmitted herewith are the following documents:

- ☒ Notice to File Corrected Application Papers
- ☒ Substitute Drawings in Compliance with 37 C.F.R. 1.84
- ☒ Letter to Official Draftsman
- ☒ Return Receipt Postcard

If the enclosed papers are considered incomplete, the Mail Room and/or the Application Branch is respectfully requested to contact the undersigned at (617) 720-3500, Boston, Massachusetts.

No fee is required. If any fee is determined to be due by the Examiner, the Examiner is authorized to charged the appropriate fee to the account of the undersigned, Deposit Account No. 23/2825. A duplicate of this sheet is enclosed.

Respectfully Submitted,



Maria A. Trevisan, Reg. No. 48,207

Wolf, Greenfield & Sacks, P.C.

Federal Reserve Plaza, 600 Atlantic Avenue

Boston, MA 02210-2211

(617)720-3500

Attorneys for Applicants

Attorney Docket No. C1039/7057

Date: December 5, 2001

X1/19/02



07-09565101.062802  
0480

ATTORNEY'S DOCKET NO: C1039/7057 (HCL/MAT)  
IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Krieg, et al.  
Serial No.: 09/965,101  
For: VECTORS AND METHODS FOR IMMUNIZATION OR THERAPEUTIC  
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Maria A. Trevisan Reg. No.: 48,207

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Box Duplicate OIPE  
U.S. Patent and Trademark Office  
P.O. Box 2327  
Arlington, VA 22202-2327

Sir:

Transmitted herewith are the following documents:

- ☒ Copy of Request for Substitute Papers
- ☒ Response to Request for Substitute Papers
- ☒ Copy of documents filed with Certificate of Mailing December 5, 2001
- ☒ Return Receipt Postcard

If the enclosed papers are considered incomplete, the Mail Room and/or the Application Branch is respectfully requested to contact the undersigned at (617) 720-3500, Boston, Massachusetts.

No fee is required. If there is a fee required in connection with filing these documents, it may be charged to the account of the undersigned, Deposit Account No. 23/2825. A duplicate of this sheet is enclosed.

Respectfully Submitted,

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Maria A. Trevisan, Reg. No. 48,207  
Wolf, Greenfield & Sacks, P.C.  
Federal Reserve Plaza, 600 Atlantic Avenue  
Boston, MA 02210-2211  
(617)720-3500

Attorney Docket No. C1039/7057

Date: June 28, 2002

X 07/03/02

09965101.062802



UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/965,101	09/26/2001	Arthur M. Krieg	C1039/7057 (HCL/MAT)

CONFIRMATION NO. 3959

## FORMALITIES LETTER



\*OC000000007093845\*

Maria A. Trevisan  
Wolf, Greenfield & Sacks, P.C.  
Federal Reserve Plaza  
600 Atlantic Avenue  
Boston, MA 02210

Date Mailed: 11/19/2001

## NOTICE TO FILE CORRECTED APPLICATION PAPERS

*Filing Date Granted*

This application has been accorded an Application Number and Filing Date. The application, however, is informal since it does not comply with the regulations for the reason(s) indicated below. Applicant is given **TWO MONTHS** from the date of this Notice within which to correct the informalities indicated below. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a)

The required item(s) identified below must be timely submitted to avoid abandonment:

- Substitute drawings in compliance with 37 CFR 1.84 because:
  - drawing sheets do not have the appropriate margin(s) (see 37 CFR 1.84(g)). Each sheet must include a top margin of at least 2.5 cm. (1 inch), a left side margin of at least 2.5 cm. (1 inch), a right side margin of at least 1.5 cm. (5/8 inch), and a bottom margin of at least 1.0 cm. (3/8 inch);

*A copy of this notice **MUST** be returned with the reply.*

Customer Service Center  
Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE